

03-14-01

Attorney Docket No. 2102716-900101

A

03/13/01



31054 U.S. PRO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Casey Campbell, et al.

Serial No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filed: Herewith

Examiner: Not Yet Assigned

Title: **METHOD AND APPARATUS FOR COUNTERPARTY  
COMMUNICATIONS AND BROKERING TRANSACTIONS**

Express Mail number. BK878571815US

Date of Deposit March 13, 2001

I hereby certify that this paper is being deposited with the United States Postal Service  
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is addressed to BOX PATENT APPLICATION, Commissioner for Patents, Washington, D C 20231.

*Ta. Tanisha L. Moore*  
Signed Ta-Tanisha L. Moore

\*\*\*

UTILITY APPLICATION TRANSMITTAL LETTER

Commissioner for Patents  
Washington, D.C. 20231

ATTN.: BOX PATENT APPLICATION

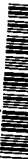
Sir:

Transmitted herewith for filing is the patent application of:

INVENTOR(s): Casey Campbell  
Sanjeev Ramchandani

FOR: **METHOD AND APPARATUS FOR COUNTERPARTY  
COMMUNICATIONS AND BROKERING TRANSACTIONS**

31054 U.S. PRO  
03/13/01



Enclosed are:

- [46] pages of specification, claims and abstract
- [26] sheets of informal drawings
- [X] Declaration of Inventors
- [ ] Assignment of the application to
- [ ] Power of Attorney
- [X] Information Disclosure Statement (w/ 27 references)
- [ ] Preliminary Amendment
- [X] Other – Return Postcard

The filing fee is calculated as follows:

(1) For	(2) # filed	(3) # extra	(4) Large Entity Rate	(5) Small Entity Rate	(6) Calculations
Basic Filing Fee			\$710.00	\$355.00	\$355.00
Total Claims	29-20	9	X \$18.00	X \$9.00	\$81.00
Independent Claims	5-3	2	X \$80.00	X \$40.00	\$80.00
Multiple Dependent Claim(s) (if applicable)					
TOTAL FEE (small entity)					\$516.00

Basic Filing Fee Enclosed ..... \$516.00  
 Other Fee(s) Enclosed ..... 0

TOTAL FEES ENCLOSED: ..... \$516.00

A check in the amount of \$516.00 is enclosed for the basic filing fee and additional claims.

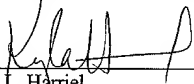
The Commissioner is hereby authorized to charge any additional fees and/or any other fees that may be required by this paper to Deposit Account No. 07-1896. A duplicate copy of this letter is enclosed.

All future correspondence should be addressed to:

GRAY CARY WARE & FREIDENRICH  
Attn: Kyla Harriel  
Patent Group  
3340 Hillview Avenue  
Palo Alto, CA 94304-1203  
(650) 320-7484

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

  
\_\_\_\_\_  
Kyla L. Harriel  
Reg. No.: 41,816

Date: 3/13/01

Patent Department  
GRAY CARY WARE FREIDENRICH  
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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$516.00)

## Complete if Known

Application Number	Now
Filing Date	Herewith
First Named Inventor	Casey Campbell
Examiner Name	Unknown
Group Art Unit	Unknown
Attorney Docket No.	2102716-900100

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number 07-1886  
Deposit Account Name Gray Cary Ware & Freidenrich LLP

- ☒ Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$355.00)

### 2. EXTRA CLAIM FEES

Total Claims 29 -20\*\* = 15 X \$9.00 = \$81.00  
Independent Claims 5 -3\*\* = 2 X \$40.00 = \$80.00  
Multiple Dependent X = 0

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
				** Reissue claims in excess of 20 and over original patent
110	18	210	9	

SUBTOTAL (2) (\$516.00)

\*\*or number previously paid, if greater, For Reissues, see above

## FEE CALCULATION (continued)

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	11	0240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unavoidable	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Sheets	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)

Kyla L. Hemel

Registration No. (Attorney/Agent)

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Signature

Kyla L. Hemel

Date

March 13, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SENT FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231